

J1059  
05/24/01  
U.S. PTO

05-25-01 A

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. 1999U019D1.US

Inventors David H. McConville and Richard R. Schrock

Title Method of Polymerization

Express Mail Label No. EL715559360US

PTO

05/24/01

U.S. PTO

05/24/01

**APPLICATION ELEMENTS**

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Specification Total Pages -37-  
(preferred arrangement set forth below)  
 - Descriptive Title of the Invention  
 - Cross References to Related Applications (if any)  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

3.  Drawing(s) (35 U.S.C. 113) Total Sheets -0-

Oath or Declaration Total Pages -4-  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 C.F.R. § 1.63(d)  
(for continuation/division with Box 15 completed)  
[Note Box 5 below]  
 i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

5.  Incorporation By Reference (useable if Box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration  
is supplied under Box 4B, is considered to be part of the disclosure of the accompanying  
application and is hereby incorporated by reference therein.

6.  Microfiche Computer Program (Appendix)

**ACCOMPANYING APPLICATION PARTS**

7.  Assignment Papers (cover sheet & document(s))

8.  37 C.F.R. § 3.73(b) Statement  Power of Attorney  
(when there is an assignee)

9.  English Translation Document (if applicable)

10.  Information Disclosure Statement (IDS)/PTO-1449  
 Copies of IDS Citations

11.  Preliminary Amendment

12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

13.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

14.  Other: \_\_\_\_\_

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment.

Continuation  Divisional  Continuation-in-part (CIP)

of prior applications No: 09/312,878, from which priority is claimed under 35 U.S.C. § 120

Prior application information: Examiner Ling-Siu Choi Group Art Unit 1713

16. If a NONPROVISIONAL APPLICATION based upon a foreign or U.S. provisional application, priority is claimed from applications

No. \_\_\_\_\_, country \_\_\_\_\_, filed on \_\_\_\_\_.

**17. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

or  Correspondence address below

(Insert Customer No. or Attach bar code label here)

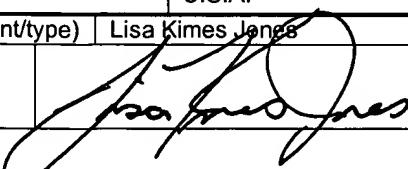
Name	Univation Technologies L.L.C.			
------	-------------------------------	--	--	--

Address	5555 San Felipe, Suite 1950			
---------	-----------------------------	--	--	--

City	Houston	State	Texas	Zip Code 77056
------	---------	-------	-------	----------------

Country	U.S.A.	Telephone	(713) 892-3729	Fax	(713) 892-3687
---------	--------	-----------	----------------	-----	----------------

Name (print/type)	Lisa Kimes Jones	Registration No. (Attorney/Agent)	41,878
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Signature		Date	May 24, 2001
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# FEE TRANSMITTAL

Note: Effective November 10, 1998.  
Patent fees are subject to annual revision.

Total Amount of Payment (\$842.00)

## METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number: 50-0589

Deposit Account Name: Univation Technologies, LLC

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

## FEE CALCULATION

### 1. FILING FEE

Large Entity Fee Code	Fee Description	Fee \$	Fee Paid
101	710 Utility filing fee		\$710.00
106	320 Design filing fee		
107	490 Plant filing fee		
108	710 Reissue filing fee		
114	150 Provisional filing fee		
SUBTOTAL (1)			\$710.00

### 2. CLAIMS

	Extra	Fee from below	Fee Paid
Total Claims	23 - 20 = 3	x 18 =	\$54.00
Independent Claims	4 - 3 = 1	x 78 =	\$78.00
Multiple Dependent Claims	0	x 260 =	\$0.00

### Large Entity

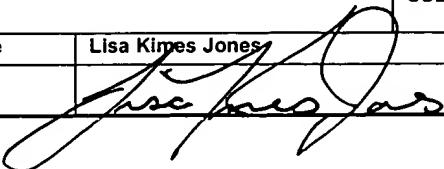
Fee Code	Fee \$	Fee Description
103	18	Claims in excess of 20
102	80	Independent claims in excess of 3
104	270	Multiple dependent claim
109	80	Reissue independent claims over original patent
110	18	Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		
		\$132.00

Complete if Known	
Application Number	New Application
Filing Date	May 24, 1999
Inventors	David H. McConville and Richard R. Schrock
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	1999U019D1.US

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee \$	Fee Description	FEES PAID
105	130	Surcharge - late filing fee or oath	
127	50	Surcharge - late provisional filing or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	390	Extension for reply within second month	
117	890	Extension for reply within third month	
118	1,390	Extension for reply within fourth month	
128	1,890	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive – unavoidable	
141	1,240	Petition to review – unintentional	
142	1,240	Utility issue fee (or reissue)	
143	440	Design issue fee	
144	600	Plant issue fee	
122	50	Petition to the Commissioner	
123	50	Petitions related to provisional applications	
126	180	Submission of information Disclosure Stmt.	
581	40	Recording each patent assignment per property (times number of properties)	
146	710	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	For each additional invention to be examiner (37 CFR 1.129(b))	
Other fee (specify)			
* Reduced by Basic Filing Fee Paid			
SUBTOTAL (3)			

Typed or Printed Name	Lisa Kimes Jones	Reg. No.	41,878
Signature		Date	May 24, 2001

# TRANSMITTAL FORM

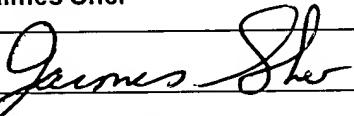
(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	09/312,878
		Filing Date	May 17, 1999
		First Named Inventor	McConville et al.
		Group Art Unit	1713
		Examiner Name	Unassigned
Total Number of Pages in This Submission	5	Attorney Docket Number	1999U019.US

## ENCLOSURES (check all that apply)

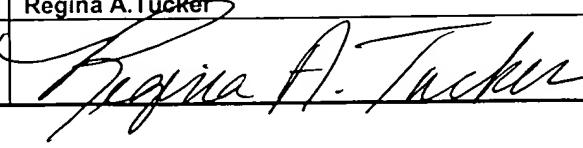
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Preliminary Amendment / Response <div style="margin-left: 20px;"><input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)</div> <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents) <input type="checkbox"/> Response to Missing Part/ Incomplete Application <div style="margin-left: 20px;"><input type="checkbox"/> Response to Missing Parts</div>	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Additional Enclosure(s) (please identify below):
REMARKS		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Jaimes Sher	Registration No.
Signature		
Date	August 20, 1999	

## CERTIFICATE OF MAILING

I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: August 20, 1999

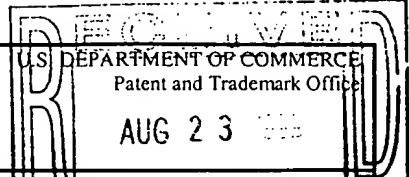
Typed or printed name	Regina A. Tucker		
Signature		Date	August 20, 1999

08-25-1999

RECC



101125828



To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Richard R. Schrock

## Additional name(s) of conveying party(ies) attached?

 Yes  No

8-23-99

## 2. Name and address of receiving party(ies):

Name: Massachusetts Institute of Technology

Street Address: 77 Massachusetts Avenue

City: Cambridge State: Massachusetts ZIP: 02139

## 3. Nature of conveyance:

Assignment     Merger  
 Security Agreement     Change of Name  
 Other

Execution Date: August 2, 1999Additional name(s) & address(es) attached?  Yes  No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

09/312,878

## B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning documents should be mailed:

Name: Jaimes Sher  
Internal Address: Univation Technologies LLC.  
Mailing Address: 5555 San Felipe, Suite 1950  
City: Houston State: Texas ZIP: 77056

## 6. Total number of applications and patents involved: [1]

## 7. Total fee (37 CFR 1.41): \$40.00

 Authorized to be charged to deposit account

## 8. Deposit account number: 50-0589

DO NOT USE THIS SPACE

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.

Jaimes Sher

Name of Person Signing

Signature

August 20, 1999

Date

Total number of pages including cover sheet, attachments, and document: [3]

Mail documents to be recorded with required cover sheet information to:

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BOX ASSIGNMENT  
WASHINGTON DC 20231

04/10/00

05-05-2000



RECORI

101347293

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Exxon Chemical Patents, Inc.

APR 10

Additional name(s) of conveying party(ies) attached?

 Yes  No

## 2. Name and address of receiving party(ies):

Name: Univation Technologies, LLC

Street Address: 5555 San Felipe, Suite 1950

City: Houston State: Texas ZIP: 77056

## 3. Nature of conveyance:

Assignment     Merger  
 Security Agreement     Change of Name  
 Other

Execution Date: April 3, 2000Additional name(s) & address(es) attached?  Yes  No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)  
09/312,878

B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning documents should be mailed:

Name: Jaimes Sher  
Internal Address: Univation Technologies LLC.  
Mailing Address: 5555 San Felipe, Suite 1950  
City: Houston State: Texas ZIP: 77056

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 1.41): \$40.00

 Authorized to be charged to deposit account

8. Deposit account number: 50-0589

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.*

Jaimes Sher

Name of Person Signing

April 5, 2000

Date

Total number of pages including cover sheet, attachments, and document: [3]

Mail documents to be recorded with required cover sheet information to:

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BOX ASSIGNMENT  
WASHINGTON DC 20231

05/04/2000 DNGUYEN 00000308 500589 09312878

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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JULY 05, 2000

PTAS

UNIVATION TECHNOLOGIES LLC.  
JAIMES SHER  
5555 SAN FELIPE, SUITE 1950  
HOUSTON, TX 77056



\*101347293A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/10/2000

REEL/FRAME: 010751/0950  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:

EXXON CHEMICAL PATENTS, INC.

DOC DATE: 04/03/2000

ASSIGNEE:

UNIVATION TECHNOLOGIES, LLC  
5555 SAN FELIPE, SUITE 1950  
HOUSTON, TEXAS 77056

SERIAL NUMBER: 09312878  
PATENT NUMBER:

FILING DATE: 05/17/1999  
ISSUE DATE:

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

DATE DOCKETED

7-21-2000

By Judry



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 22, 1999

PTAS

UNIVATION TECHNOLOGIES LLC  
JAIMES SHER  
5555 SAN FELIPE  
SUITE 1950  
HOUSTON, TX 77056



\*101125828A\*

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RECORDATION DATE: 08/23/1999

REEL/FRAME: 010181/0833  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:

SCHROCK, RICHARD R.

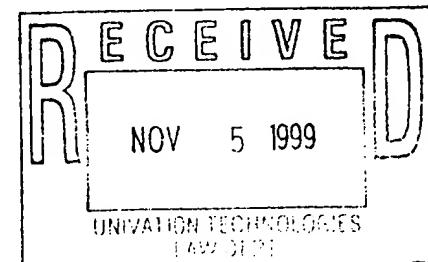
DOC DATE: 08/02/1999

ASSIGNEE:

MASSACHUSETTS INSTITUTE OF  
TECHNOLOGY  
77 MASSACHUSETTS AVENUE  
CAMBRIDGE, MASSACHUSETTS 02139

SERIAL NUMBER: 09312878

FILING DATE: 05/17/1999  
PATENT NUMBER:

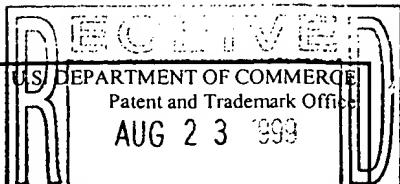


SHIRLIE SIMON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

08-25-1999



FORM PTO-1595

REC 101125829 SET  
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

2. Name of conveying party(ies):  David H. McConville		2. Name and address of receiving party(ies):  Name: Exxon Chemical Patents, Inc. Street Address: 5200 Bayway Drive City: Baytown State: Texas ZIP: 77522
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>8-23-99</i>		Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <u>June 12, 1999</u>		
4. Application number(s) or patent number(s):  If this document is being filed together with a new application, the execution date of the application is: _____		
A. Patent Application No.(s) <u>09/312,878</u>		B. Patent No.(s)
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning documents should be mailed:  Name: Jaimes Sher Internal Address: Univation Technologies LLC. Mailing Address: 5555 San Felipe, Suite 1950 City: Houston State: Texas ZIP: 77056		6. Total number of applications and patents involved: [1]
		7. Total fee (37 CFR 1.41): \$40.00 <input checked="" type="checkbox"/> Authorized to be charged to deposit account
		8. Deposit account number: 50-0589
DO NOT USE THIS SPACE <span style="float: right;"><i>40E</i></span>		
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.</i>  _____ Jaimes Sher Name of Person Signing <i>Jaimes Sher</i> Signature      _____ _____ Date      August 20, 1999		
Total number of pages including cover sheet, attachments, and document: [3]		
Mail documents to be recorded with required cover sheet information to:  COMMISSIONER OF PATENTS AND TRADEMARKS BOX ASSIGNMENT WASHINGTON DC 20231		

08/25/1999 MTHAI1 00000073 500589 09312878

WASHINGON DC 20231

40.00 CH